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Express Mail No. EU 103 024 264 US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

7

Application of: Shiau *et al.*

Serial No.: 09/830,693

Group Art Unit: To be assigned

Filed: March 30, 1999

Examiner: To be assigned

For: METHODS AND COMPOUNDS
FOR MODULATING NUCLEAR
RECEPTOR ACTIVITY

Attorney Docket No.: UCAL-256/01US
(9811-0013-999)

Confirmation No.: 9894

RESPONSE TO NOTIFICATION OF DEFECTIVE RESPONSE

Assistant Commissioner for Patents
U.S. Patent and Trademark Office
Box Sequence, P.O. Box 2327
Arlington, VA 22202

Sir:

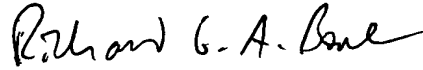
In response to the Notification of Defective Response mailed May 7, 2002 in connection with above-identified application, Applicants submit herewith, a substitute Sequence Listing in paper and computer readable form pursuant to 37 C.F.R. §1.821(c) and (e) and a return copy of the Notification of Defective Response.

Applicants respectfully request the entry of the paper and computer readable forms of the Sequence Listing into the application. As the Sequence Listing merely presents nucleotide and/or amino acid sequences that appeared in the application as originally filed in accordance with 37 C.F.R. §1.821-1.825, the Sequence Listing does not introduce new matter into the application.

No fees are believed due in connection with this submission. However, if there is a fee due, please charge the required fee to the Pennie & Edmonds LLP Deposit Account No. 16-1150. A copy of this sheet is attached.

Respectfully submitted,

Date June 7, 2002



Richard G.A. Bone (Reg. No.)
Limited Recognition Under 37 C.F.R. § 10.9(b)
(Copy of Certificate Enclosed)
for Samuel B. Abrams 30,605
PENNIE & EDMONDS LLP
1155 Avenue of the Americas
New York, New York 10036-2711
(650) 493-4935

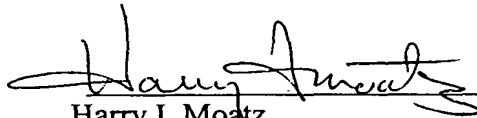
**BEFORE THE OFFICE OF ENROLLMENT AND DISCIPLINE
UNITED STATE PATENT AND TRADEMARK OFFICE**

LIMITED RECOGNITION UNDER 37 CFR § 10.9(b)

Dr. Richard G. A. Bone is hereby given limited recognition under 37 CFR §10.9(b) as an employee of Pennie & Edmonds, LLP to prepare and prosecute patent applications wherein the patent applicant is the client of Pennie & Edmonds, LLP, and the attorney or agent of record in the applications is a registered practitioner who is a member of Pennie & Edmonds, LLP. This limited recognition shall expire on the date appearing below, or when whichever of the following events first occurs prior to the date appearing below: (i) Dr. Richard G. A. Bone ceases to lawfully reside in the United States, (ii) Dr. Richard G. A. Bone's employment with Pennie & Edmonds, LLP ceases or is terminated, or (iii) Dr. Richard G. A. Bone ceases to remain or reside in the United States on an H-1B visa.

This document constitutes proof of such recognition. The original of this document is on file in the Office of Enrollment and Discipline of the U.S. Patent and Trademark Office.

Expires: April 3, 2003

A handwritten signature in dark ink, appearing to read "Harry I. Moatz", is written over a horizontal line.

Harry I. Moatz
Director of Enrollment and Discipline



UNITED STATES PATENT AND TRADEMARK OFFICE

9811-013-999

 Commissioner for Patents, Box PCT
 United States Patent and Trademark Office
 Washington, D.C. 20231
 www.uspto.gov

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|-----------------------------|-----------------------|------------------|
| U.S. APPLICATION NUMBER NO. | FIRST NAMED APPLICANT | ATTY. DOCKET NO. |
| 09/830,693 | Andrew Shiau | UCAL-256/01US |

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|-------------------------------|
| INTERNATIONAL APPLICATION NO. |
| PCT/US99/06937 |

 Cooley Godward
 Five Palo Alto Square
 3000 E1 Camino Real
 Palo Alto, CA 94306-2155

RECEIVED

MAY 22 2002

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| I.A. FILING DATE | PRIORITY DATE |
| 03/30/1999 | 03/30/1998 |

RECEIVED RECORDS

MAY 29 2002

& DOCKETING CA OFFICE

Quine Intellectual Property Law Group, P.C.

CONFIRMATION NO. 9894

371 FORMALITIES LETTER

OC000000008035569

Date Mailed: 05/07/2002

NOTIFICATION OF DEFECTIVE RESPONSE

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as an Elected Office (37 CFR 1.495):

- U.S. Basic National Fee
- Priority Document
- Biochemical Sequence Diskette
- Biochemical Sequence Listing
- Copy of IPE Report
- Copy of the International Application
- Copy of the International Search Report
- Oath or Declaration

Due June 7, 2002
 NO extensions.

Docketed 7/

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

Applicant is required to complete the response within a time limit of ONE MONTH from the date of this Notification or within the time remaining in the response set forth in the Notification of Missing Requirements, whichever is the longer. No extension of this time limit may be granted under 37 CFR 1.136, but the period for response set in the Notification of Missing Requirements may be extended under 37 CFR 1.136(a).

The following items **MUST** be furnished within the period set forth below:

- The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 CFR 1.821-1.825 for the following reason(s):

- The CRF (was) Damaged
- APPLICANT MUST PROVIDE:

- An initial or substitute paper copy or compact disc of the "Sequence Listing," as well as an amendment directing its entry into the specification.

- For questions regarding compliance to 37 CFR 1.821-1.825 requirements, please contact:
 - For Rules Interpretation, call (703) 308-4216
 - To Purchase PatentIn Software, call (703) 306-2600
 - For PatentIn Software Program Help, call (703) 306-4119 or e-mail at patin21help@uspto.gov or patin3help@uspto.gov

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

PAULETTE R KIDWELL

Telephone: (703) 305-3656

PART 1 - ATTORNEY/APPLICANT COPY

| U.S. APPLICATION NUMBER NO. | INTERNATIONAL APPLICATION NO. | ATTY. DOCKET NO. |
|-----------------------------|-------------------------------|------------------|
| 09/830,693 | PCT/US99/06937 | UCAL-256/01US |

FORM PCT/DO/EO/916 (371 Formalities Notice)



Rec'd PCT/PTO 07 JUN 2002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Shiau et al

Serial No.: 09/830,693

Group Art Unit: To be assigned

Filed: March 30, 1999

Examiner: To be assigned

For: *Methods and Compounds For
Modulating Nuclear Receptor Activity*

Attorney Docket No.: 9811-013-999

VERIFIED STATEMENT UNDER 37 C.F.R. § 1.821(f)

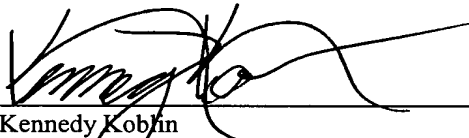
Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

I, KENNEDY KOBLIN, do declare and state as follows:

1. I prepared a Sequence Listing in paper and computer readable forms in accordance with 37 C.F.R. §§ 1.821 - 1.825 in connection with the above-captioned patent application, both of which are being submitted herewith.
2. I hereby state that, to the best of my knowledge, the contents of the paper and computer readable copies of the Sequence Listing are the same; and this submission includes no new matter.
3. I declare further that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under §1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Signed


Kennedy Koblin
Legal Assistant

June 6, 2002
Date